



PATENT
Docket No. 220002060725
Client Ref. 1999-128-7

DECLARATION FOR UTILITY PATENT APPLICATION

AS BELOW-NAMED INVENTORS, WE HEREBY DECLARE THAT:

Our residence, post office addresses, and citizenships are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHOD OF REDUCING BACTERIAL PROLIFERATION, the specification of which is attached hereto unless the following box is checked:

☒ was filed on August 9, 2001 as United States Application Serial No. 09/928,227.

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed
			<input type="checkbox"/> Yes <input type="checkbox"/> No

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/183,043	02/02/99
60/198,250	05/05/99

We hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, we acknowledge the duty to disclose information which is material to

patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status
09/612,116	07/07/00	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/495,614	02/01/00	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/241,951 (converted to 60/183,043)	02/02/99	<input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/305,603 (converted to 60/198,250)	05/05/99	<input type="checkbox"/> Patented <input type="checkbox"/> Pending <input type="checkbox"/> Abandoned

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

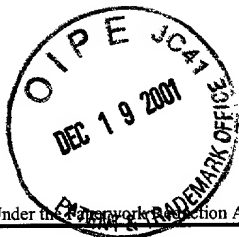
11/2/01 *Michael J. Mahan*
 Date Name: Michael J. MAHAN
 Residence: Santa Barbara, California
 Citizenship: U.S.A.
 Post Office Address: 5333 Camino Penco, Santa Barbara, California, 93111

11/2/01 *Douglas M. Heithorn*
 Date Name: Douglas M. HEITHORN
 Residence: Goleta, California
 Citizenship: U.S.A.
 Post Office Address: 4760 El Colegio, Apt. 404, Goleta, California 93117
 785 Camino del Sur 4328

11/09/01 *David A. Low*
 Date Name: David A. LOW
 Residence: Goleta, California
 Citizenship: U.S.A.
 Post Office Address: 6089 La Goleta Road, Goleta, California 93117

11/5/01 *Robert L. Sinsheimer*
 Date Name: Robert L. SINSHEIMER
 Residence: Santa Barbara, California
 Citizenship: U.S.A.
 Post Office Address: 4606 Via Cayente Santa Barbara, California 93110

DMH 11/14/01



PTO/SB/96 (08-00)

Approved for us through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Michael J. MAHAN et al.

Application No./Patent No.: 09/928,227

Filed/Issue Date: August 9, 2001

Entitled: METHOD OF REDUCING BACTERIAL PROLIFERATION

The Regents of the University of California, a university,

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Nov. 9, 2001

Date

THE REGENTS OF THE UNIVERSITY OF
CALIFORNIA
SignatureLinda Stevenson, Manager, Patent Prosecution

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Attorney Docket No.: 220002060725

Client Reference: 1999-128-7

pa-637282

ASSIGNMENT

UC Case No.: 1999-128-7

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael J. MAHAN; 5333 Cameo Paseo, Santa Barbara, California, 93111
2. Douglas M. HEITHOFF; 785 Camino del Sur, #320, Goleta, California 93117
3. David A. LOW; 6089 La Goleta Road, Goleta, California 93117
4. Robert L. SINSHEIMER; 4606 Via Cayente, Santa Barbara, California 93110

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

METHOD OF REDUCING BACTERIAL PROLIFERATION

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. application serial no. 09/928,227 filed August 9, 2001
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

2 day of Nov, 2001

2nd day of Nov, 2001

8th day of NOV, 2001

5th day of Nov., 2001

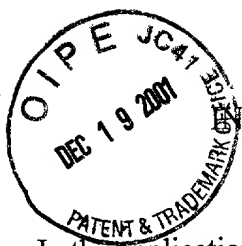
Signature of Inventor(s)

Michael J. Mahan
Michael J. MAHAN

Douglas M. Heithoff
Douglas M. HEITHOFF

David A. Low
David A. LOW

Robert L. Sinsheimer
Robert L. SINSHEIMER



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Michael J. MAHAN et al.

Serial No.: 09/928,227

Filing Date: August 9, 2001

For: METHOD OF REDUCING BACTERIAL
PROLIFERATION

Examiner: To Be Assigned

Group Art Unit: 1645

**PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY
UNDER 37 C.F.R. § 3.71**

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The Regents of the University of California, the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints:

Lisa A. Amii (Reg No. 48,199)
Mehran Arjomand (Reg No. 48,231)
Sanjay S. Bagade (Reg No. 42,280)
Shantanu Basu (Reg No. 43,318)
Vincent J. Belusko (Reg No. 30,820)
Kimberly A. Bolin (Reg No. 44,546)
Tyler S. Brown (Reg No. 36,465)
A. Randall Camacho (Reg No. 46,595)
Robert K. Cerpa (Reg No. 39,933)
Alex Chartove (Reg No. 31,942)
Thomas E. Ciotti (Reg No. 21,013)
Matthew M. D'Amore (Reg No. 42,457)
Peter Davis (Reg No. 36,119)
Stephen C. Durant (Reg No. 31,506)
David L. Fehrman (Reg No. 28,600)
Thomas George (Reg No. 45,740)
Kenneth R. Glick (Reg No. 28,612)
Johnney U. Han (Reg No. 45,565)

Randolph Ted Apple (Reg No. 36,429)
Laurie A. Axford (Reg No. 35,053)
Erwin J. Basinski (Reg No. 34,773)
Richard R. Batt (Reg No. 43,485)
Jonathan Bockman (Reg No. 45,640)
Barry E. Bretschneider (Reg No. 28,055)
Nicholas Buffinger (Reg No. 39,124)
Mark R. Carter (Reg No. 39,131)
Peng Chen (Reg No. 43,543)
Thomas Chuang (Reg No. 44,616)
Cara M. Coburn (Reg No. 46,631)
Raj S. Davé (Reg No. 42,465)
Karen B. Dow (Reg No. 29,684)
Carolyn A. Favorito (Reg No. 39,183)
Hector Gallegos (Reg No. 40,614)
Debra J. Glaister (Reg No. 33,888)
Bruce D. Grant (Reg No. 47,608)
Douglas G. Hodder (Reg No. 41,840)

Alan S. Hodes (Reg No. 38,185)
Kelvan P. Howard (Reg No. P48,999)
Jill A. Jacobson (Reg No. 40,030)
Madeline I. Johnston (Reg No. 36,174)
Ararat Kapouytian (Reg No. 40,044)
Cameron A. King (Reg No. 41,897)
Kawai Lau (Reg No. 44,461)
Rimas T. Lukas (Reg No. 46,451)
Gladys H. Monroy (Reg No. 32,430)
Kate H. Murashige (Reg No. 29,959)
Mabel Ng (Reg No. P48,922)
Catherine M. Polizzi (Reg No. 40,130)
Robert E. Scheid (Reg No. 42,126)
Terri Shieh-Newton (Reg No. 47,081)
Kevin R. Spivak (Reg No. 43,148)
Thomas L. Treffert (Reg No. P48,279)
Michael R. Ward (Reg No. 38,651)
Todd W. Wight (Reg No. 45,218)
David T. Yang (Reg No. 44,415)
George C. Yu (Reg No. 44,418)

Charles D. Holland (Reg No. 35,196)
Peter Hsieh (Reg No. 44,780)
Wayne Jaeschke, Jr. (Reg No. 38,503)
Parisa Jorjani (Reg No. 46,813)
Richard C. Kim (Reg No. 40,046)
Lawrence B. Kong (Reg No. P49,043)
Glenn Kubota (Reg No. 44,197)
Michael J. Mauriel (Reg No. 44,226)
Philip A. Morin (Reg No. P-45,926)
Paul S. Naik (Reg No. P49,075)
Martin M. Noonan (Reg No. 44,264)
Phillip Reilly (Reg No. 41,415)
Debra A. Shetka (Reg No. 33,309)
Rebecca Shortle (Reg No. 47,083)
Stanley H. Thompson (Reg No. 45,160)
Brenda J. Wallach (Reg No. 45,193)
E. Thomas Wheelock (Reg No. 28,825)
Frank Wu (Reg No. 41,386)
Peter J. Yim (Reg No. 44,417)
Karen R. Zachow (Reg No. 46,332)

all of Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018, telephone (650) 813-5600, to prosecute this application and transact all matters in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71 provided that if any one of said attorneys or agents ceases being affiliated with the law firm of Morrison & Foerster as partner, employee or of counsel, such attorney's or agent's appointment as attorney or agent and all powers derived therefrom shall terminate on the date such attorney or agent ceases being so affiliated.

Please direct all written communications relative to this application to:

Catherine Polizzi
Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018

Please direct all telephone communications to Catherine Polizzi at (650) 813-5651.

THE REGENTS OF THE UNIVERSITY
OF CALIFORNIA

Dated: Nov. 9, 2001

A handwritten signature in cursive script, reading "Linda S. Stevenson", written over a horizontal line.

Name: Linda Stevenson

Title: Manager, Patent Prosecution

Address: 1111 Franklin Street, 5th Floor
Oakland, CA 94607-5200